

**EXHIBIT A**

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APPLICATION THAT MET THE REQUIREMENTS TO BE GRANTED A  
FILING DATE.

APPLICATION NUMBER: 09/940,110

FILING DATE: August 27, 2001

RELATED PCT APPLICATION NUMBER: PCT/US02/27177

By Authority of the  
COMMISSIONER OF PATENTS AND TRADEMARKS



*M. Sias*

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Certifying Officer

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08-28-01

# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
SYNC-200

Total Pages in this Submission

**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

SATIATION DEVICES AND METHODS

and invented by:

Richard S. Stack, Richard A. Glenn, Trevor J. Moody, Fred E. Silverstein, Nathan Every and William S. Eubanks

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below.
2. ☒ Specification having 30 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

**EXPRESS MAIL CERTIFICATE**

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Service" Label No. EL816896763US postage paid in an envelope, addressed to: Commissioner for Patents, Washington, DC 20231 on August 27, 2001

Dated: 8/27/01

By: Georgia K. Stith  
Name  
Georgia K. Stith

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
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Total Pages in this Submission

**Application Elements (Continued)**

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*  
a. ☐ Formal      b. ☒ Informal      Number of Sheets 19
4. ☒ Oath or Declaration  
a. ☐ Newly executed *(original or copy)*      ☒ Unexecuted  
b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*  
c. ☐ With Power of Attorney      ☒ Without Power of Attorney  
d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*  
a. ☐ Paper Copy  
b. ☐ Computer Readable Copy  
c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☐ Assignment Papers *(cover sheet & documents)*
9. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☒ Information Disclosure Statement/PTO-1449      ☒ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing  
☐ First Class      ☒ Express Mail *(Specify Label No.):* EL816896763US

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
SYNC-200

Total Pages in this Submission

**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

16. ☐ Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_

17. ☐ Additional Enclosures *(please identify below):*

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

*An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.*

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**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
SYNC-200

Total Pages in this Submission

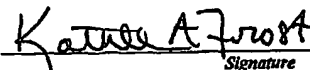
**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	109	- 20 =	89	x \$9.00	\$801.00
Indep. Claims	8	- 3 =	5	x \$40.00	\$200.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$355.00
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$1,356.00

- ☒ A check in the amount of \$1,356.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1703 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: August 27, 2001

  
Signature

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**SATIATION DEVICES AND METHODS**

**Inventors:** Richard S. Stack, M.D.; Richard A. Glenn; Trevor J. Moody; Fred E. Silverstein, M.D.; Nathan Every, M.D.; and William S. Eubanks, Jr., M.D.

**Field of the Invention**

The present invention relates generally to the field of devices and methods for achieving weight loss in humans, and specifically to the use of devices implantable within the human stomach for controlling feelings of hunger.

**Background of the Invention**

Various medical approaches are used for controlling obesity. These approaches include diet, medication, and surgical procedures. One of the more successful surgical procedures is the vertical banded gastroplexy or the proximal gastric pouch with a Roux-en-Y anastomosis. However, known complications are present with each of these procedures and more successful options are desired.

Other alternatives include implantation of gastric balloons that prevent overeating by occupying volume within the stomach. Unfortunately, gastric balloons can migrate down the GI tract, causing obstruction and thus necessitating removal.

It is therefore desirable to provide a successful and minimally-invasive alternative to existing approaches for controlling obesity.

**Summary of the Invention**

A satiation device utilizing principles of the present invention includes a tube having a collapsed position proportioned to permit introduction of the tube into a portion of the stomach. Once positioned within the body, the tube self-expands into contact with the interior of the stomach. During use, food ingested into the stomach passes through the tube. In an alternate embodiment, the tube may be formed of a material that prevents food within the tube from contacting the surrounding walls of the stomach. In one

embodiment, the tube may be positionable within the antrum of the stomach. In other alternative embodiments, the device may include a fundal basket which may or may not be attached to a proximal end of an antral tube, and/or a bowel tube which may or may not be attached to a distal end of an antral tube.

5 In other alternative embodiments, a small pouch is attached to a cage structure such as a fundal basket and positioned at the proximal end of the stomach. In other alternative embodiments, this pouch may be provided without a cage structure and is independently secured against the proximal stomach wall by endoscopy guided sutures or other means.

#### Brief Description of the Drawings

Fig. 1 is a schematic illustration of a human stomach and a portion of the small intestine.

Fig. 2 is a plan view of a satiation device utilizing principles of the present invention.

Fig. 3 is a plan view of a satiation device similar to that of Fig. 2, but including a drug delivery reservoir.

Fig. 4A is a schematic illustration of a stomach, pylorus, and bowel, showing introduction of the device of Fig. 2 or 3 into the antrum.

Fig. 4B is a schematic illustration similar to Fig. 4A, showing the device in position.

Fig. 4C is a schematic illustration similar to Fig. 4B, showing withdrawal of the device into a sheath for subsequent removal from the body.

Fig. 5 is a schematic illustration similar to the illustration of Fig. 4B, showing the position of an alternative device having an antral tube and a bowel tube.

Fig. 6 is a schematic illustration similar to the illustration of Fig. 4B, showing the position of an alternative device having an antral tube that does not cross the pyloric sphincter.

Fig. 7 is a plan view of an antral tube similar to the antral tube of Fig. 6, with retaining structures formed into the external surface.

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Fig. 18 is a perspective view of a stomach pouch of a type that may be utilized as shown in Figs. 17A-17C.

Fig. 19A is a perspective view of an alternative stomach pouch of a type that may be utilized as shown in Figs. 17A-17C.

5 Fig. 19B is a cross-sectional side view of the stomach pouch of Fig. 19A.

Fig. 20 illustrates in vivo positioning of an alternative satiation device utilizing a duodenal absorption barrier prosthesis.

### DETAILED DESCRIPTION

10 An anatomical view of a human stomach S and associated features is shown in Fig. 1. Stomach S includes a fundus F at its proximal end and an antrum A at its distal end. Antrum A feeds into the pylorus P which attaches to the duodenum D, the proximal region of the small intestine. Within the pylorus P is a sphincter that prevents backflow of food from the duodenum D into the stomach. The middle region of the small intestine, 15 positioned distally of the duodenum D, is the jejunum J.

Various embodiments of satiation devices are described herein. Many of these devices include an antral tube positionable within the antrum A, and may optionally include a fundal tube connected to the proximal end of the antral tube for placement in 20 the fundus F, and/or a bowel tube connected to the distal end of the antral tube for placement in the duodenum D.

The device may be modular in that that the various components may be provided separate from one another. In such a modular system, the separate implanted components may be attached to one another within the body during implantation, or certain ones of 25 them may remain unattached to one another even after implantation. Alternatively, the physician may assemble the components to one another just prior to implantation. Modular components are desirable in that they permit the physician to select sizes for each component that are appropriate for the patient. As another alternative, the device may be a unitary device in the sense that the components (e.g. the antral tube, bowel tube 30 and/or fundal basket) are not separately provided but instead form a single-unit implant.

Fig. 2 shows a first embodiment of a satiation device 100 utilizing principles of the present invention. Satiation device 100 includes an elongate tubular body 10 having a proximal section 12 and a distal section 14. Proximal section 12 includes a reduced diameter neck 16. Distal section 14 preferably has an hourglass profile including a pair of broadened sections 18 and a waisted section 20 between the broadened sections.

Tubular body 10 is proportioned to be at least partially positioned within the antrum of the stomach such that food moving into the antrum passes through the hollow interior of the tubular body. The tubular body 10 (which will also be referred to as the antral tube) may be made of shape memory materials such as nitinol or other shape memory alloys, or shape memory polymers, and is preferably made of a soft mesh or other framework formed of nitinol or stainless steel wires in combination with a polymeric barrier that prevents ingested food passing through the antral tube 10 from contacting the walls of the antrum. Thus, the polymeric barrier may be a skin formed on the exterior or interior of the mesh, or the mesh may be encapsulated in polymeric material or the polymer may be disposed in the interstices of the mesh. By preventing food from contacting the antrum walls as it passes from mid-stomach to the pylorus, the device prevents modulation of Ghrelin or other satiety controlling factors.

As shown in Fig. 3, the device 100 may optionally include one or more pharmaceutical delivery reservoirs 22, which are filled with substances known to inhibit release of Ghrelin or other hormones associated with feelings of satiety. Such substances may be chemical or pharmaceutical substances, therapeutic molecules or cells, or genetic material. Each such reservoir 22 may comprise a fluid pocket formed between a first layer of fluid impermeable polymeric material and a second layer of semi-permeable membrane that allows the substances to pass from the reservoirs into the surrounding tissue. Alternatively, the polymeric material used to form the tube may be impregnated with substances useful for maintaining low Ghrelin levels.

The reservoir or material containing the inhibitive substances may be in a portion of the device that lies within the antrum and/or in a portion that lies within the duodenum, particularly the segment of the duodenum that is proximal of the ampulla of vater, as it is believed that receptors for such substances are present in these areas.

During implantation, the antral tube 10 is passed into the patient blindly, under radiologic guidance, or under endoscopic guidance. Prior to implantation, the antral tube 10 is preferably packaged in a tubular sheath 26 (see Fig. 4A) by compressing the antral tube 10 about its longitudinal axis and inserting it into tubular sheath 26.

5 The sheath 26, with the antral tube 10 packaged inside, is passed into the stomach via the patient's mouth and positioned within the antrum as shown in Fig. 4A. The antral tube 10 is then pushed out the distal end of the sheath 26 using a pushing device 28 inserted into the proximal end of the sheath. The mesh forming the antral tube is preferably constructed so as to be self-expanding, such that the tube 10 springs radially  
10 open into an expanded condition upon its ejection from the sheath 26. When in its expanded condition, the antral tube exerts pressure against the interior surfaces against which it is in contact, so as to create the feeling of satiety and to inhibit Ghrelin release. The radial pressure of the device against the walls also secures the device against the walls of the antrum and prevents it from moving through the pylorus, even in the  
15 presence of peristalsis. In an alternative embodiment, the antral section is covered, such as by a polymeric material, shielding the stomach contents from the antrum. This may suppress chemical mediators of the sensation of hunger, such as ghrelin production.

The hour-glass shape of the distal portion 14 is configured such that when the device is implanted, the waist section 20 becomes seated at the pyloric sphincter as  
20 shown in Fig. 4B. The helps to prevent migration of the device within the stomach, yet because of the self-expanding nature will avoid obstruction of the pylorus. It may be additionally desirable to provide the antral tube to include a valve (not shown) within the waist section 20, so as to prevent reflux of bile from the duodenum into the antrum.

Referring to Fig. 4C, removal of the device is carried out by inserting sheath 26  
25 into the stomach, and by extending a grasping instrument such as snare 30 through the sheath. Snare 30 is closed around the neck 16 of the tube 10 and withdrawn, causing the tube 10 to collapse and be drawn into the sheath 26. Once the tube 10 is stored within the sheath, the sheath is withdrawn from the patient.

It will be appreciated that various other mechanisms may be used to facilitate  
30 collapse of the tube for removal. For example, Figs. 16A and 16B show end views of the

proximal portion of an alternative antral tube 11 which is provided to include one or more radially extending tabs 13. Tabs 13 are preferably rounded and smooth to minimize interference with flow through the tube 11. When the satiation device is to be removed, tabs 13 are drawn inwardly using endoscopic instruments, causing the tube to collapse inwardly.

Referring to Fig. 5, an alternate embodiment of satiation device 110 includes an antral tube 10a similar to that of the previous embodiments, but additionally includes a small diameter bowel tube 32 at its distal end. The bowel tube 32 is preferably formed of a combination of mesh and polymer as described in connection with antral tube 10 of Fig. 2. It simulates a Roux en Y, or gastric bypass, procedure by keeping food away from the proximal portion of the small bowel (i.e. away from the duodenum or the jejunum and duodenum, the portions of the small intestine at which most carbohydrates and proteins are absorbed by the body). This in turn prevents absorption of food by the proximal portion of the small bowel, and thus reduces the total amount of food absorbed by the body.

The bowel tube 32 is smaller in diameter than the antral tube 10a, and is of a diameter that will allow it to press gently against the walls of the small bowel. It must also be sufficiently flexible to pass posteriorly and distally into the second portion of the duodenum without damaging the mucosa. This may be facilitated by the use of a guidewire that is first introduced with an endoscope.

The bowel tube 32 may be a soft wire mesh (formed, for example, of shape memory alloys, nitinol, stainless steel alloys, stainless steel or polymers including shape memory polymers) covered with a polymer to prevent food and digestive juices from contacting the mucosa of the duodenum. Tube 32 may be provided to have a valve 34 at its distal end, which functions to prevent reflux of intestinal contents. The bowel tube includes an opening 33 to ensure that the ampulla of vater is not obstructed.

Delivery of the device 110 into, and its removal from, the stomach may be performed under radiological or endoscopic guidance as described with respect to the prior embodiments. A conventional guide wire may also be used to facilitate positioning of the bowel tube 32. If a guide wire is used, it is first placed into the duodenum using

endoscopy or radiology to guide the wire placement. The bowel tube 32 and antral tube 10a are then placed over the wire and guided over the wire into the duodenum or jejunum to the desired location. Next, the guide wire is removed. The small bowel tube position is maintained by bearing against the proximal end of the antral tube using a pushing instrument (such as the pusher 28 shown in Fig. 4A), while the covering sheath is withdrawn. As they are released from the sheath, the small bowel tube and the antral tube deploy and expand into contact with the antrum walls.

In a modular version of the device 110, the antral tube 10a and bowel tube 32 may be provided separately. Components of a modular system may be attached to one another pre-operatively or after each component has been positioned within the body.

An alternative form of a satiation device 120 may be configured, as shown in Fig. 6, to have an antral tube 10b that is positioned only within the antrum and that does not cross the pyloric sphincter. As with the prior embodiments, the satiation device 120 is preferably self-expanding and may be formed of a soft nitinol, shape memory polymer, or stainless steel mesh, preferably in combination with a polymer. Outward radial pressure between the antral tube and the stomach walls prevent the tube from moving distally through the pylorus, even in the presence of peristalsis. Additional mechanisms may be provided to prevent movement of the tube towards the fundus and/or pylorus. For example, soft and directional "fish scale" type structures 36 may be formed on the mesh or polymer on the exterior surface of the antral tube 10b as shown in Fig. 7. The figure shows the scales oriented to prevent movement of the device towards the pylorus, but it should be appreciated that movement towards the fundus may be prevented by orienting the scales in the opposite direction.

A plurality of hooks 38 may be formed on the proximal and/or distal ends of the antral tube 10b, as shown in Fig. 8. These hooks gently attach to the mucosa of the antrum and prevent movement in the proximal and/or distal direction. Such hooks should be sufficiently small as to not penetrate the submucosa or muscularis.

Figs. 9A and 9B illustrate the use of ridges formed on the exterior of the antral tube for preventing migration of the tube. The ridges may be formed in a variety of configurations, such as the helical ridges 40 shown on the Fig. 9A embodiment or the

rings 42 shown in the Fig. 9B embodiment. These same mechanisms for preventing movement may be applied to the bowel tube as well, as described with respect to Figs. 10D – 10F.

5 A basket structure may extend from the proximal end of the antral tube for positioning in the fundus. Referring to Figs. 10A-10C, a fundal basket 44a, 44b, 44c may be formed of a mesh provided with large openings sized to permit food to readily flow through the fundal basket into the antral tube. Unlike the mesh of the antral tube, the mesh of the fundal basket is preferably not covered with a polymeric skin or coating. The fundal basket is mechanically connected to the antral tube, such as by spring members  
10 46a (Fig. 10A), elongate struts 46b (Fig. 10B), mesh 46c (Fig. 10C) or equivalent structural components. The proximal end of the fundal basket rests against the walls of the fundus of the stomach and thereby functions to prevent migration of the device within the stomach. An embodiment utilizing an antral tube and fundal basket may be provided in a modular form – in which the antral and fundal components are separate from one  
15 another and then attached to one another pre-operatively or following implantation in the body. Alternatively, the antral tube and fundal basket may comprise a unitary device.

Similar attachment mechanisms may be used to attach a bowel tube to an antral tube in embodiments having these components, regardless of whether a fundal basket is used. For example, the bowel section 132b and antral section 110b may be connected  
20 with one or more longitudinal struts, as shown in Figs. 10E and 10F. An alternative embodiment may be provided without an attachment strut, in which case bowel tube 132a may be placed separately from antral tube 110a, and it may include a neck section 133 (or tabs such as tabs 13 of Figs. 16A/16B) at its proximal edge to allow recovery with an endoscopically controlled snare. See Fig. 10D. As discussed previously, a device of this  
25 type may be provided as a modular or unitary device.

Referring to Fig. 11, embodiments having an antral tube 10b and a fundal basket 44 may further include a bowel tube 32 attached to the antral tube. As discussed previously with respect to Fig. 5, the bowel tube 32 functions to keep food away from the proximal small bowel. The bowel tube 32 may have properties similar to those described  
30 with respect to the embodiment of Fig. 5.

As with the previous embodiment, the embodiments of Figs. 10A-10F and 11 are preferably inserted into the stomach in a collapsed condition, such as within a sheath 26 as shown in Fig. 12A. In the case of the Fig. 10A-10C embodiments which include antral and fundal tubes only, the distal tip of the antral tube is placed at the pylorus (or across the pylorus as with the Fig. 2 embodiment) and the sheath is withdrawn. As they are released, the antral and fundal units self-expand and may shorten slightly.

If a small bowel tube is to be included, as in Figs. 10D-10F, the tube can be placed under radiological guidance or endoscopic guidance or over a guide wire as described above with respect to Fig. 5. As discussed, the antral tube, fundal basket and bowel tube may form parts of a unitary device, or they may be separately provided as modular components. In a modular device, each of the three components may be separately provided and then attached to one another prior to implantation or after the components have been positioned within the body. In another form of modular device, some but not all of the components (e.g. the fundal basket and antral tube, or the antral tube and bowel tube) may comprise a unitary device, and an additional modular component may be provided for subsequent attachment to the unitary device either before or after implantation.

Referring to Fig. 12B, removing the device, whether it includes only an antral tube, fundal and antral tubes, or fundal, antral and small bowel tube, is accomplished by extending a sheath 26 into the stomach, extending a grasping instrument through the sheath, grasping the proximal end of the device and pulling the tube into the sheath causing it to collapse. If a wire snare loop is to be used as the grasping instrument, the snare is placed around a neck (such as neck 16 shown in Fig. 2 or a similar neck 17 at the proximal end of the fundal basket as shown in Fig. 12B) to grasp the device.

Engagement with the snare loop would assist in collapsing the tube as the snare is tightened around the neck and withdrawn into the sheath 26. Alternatively, as described with respect to Figs. 16A and 16B, the proximal end of the tube may include tabs 13 that are pulled radially inwardly using an endoscopic instrument to facilitate collapse of the device.



Another alternative satiation device 130 is shown in Fig. 13. As with the prior devices, device 130 includes an antral tube 10c positionable within the antrum to minimize direct contact between food entering the antrum and the walls of the antrum. The antral tube 10c may be formed of a combination of soft polymeric material as well as reinforcing members formed of nitinol, stainless steel, and/or polymer. In the embodiment shown in Fig. 13, device 130 is formed of a polymeric sleeve 48 with nitinol struts 50 embedded in the sleeve material. Stainless steel or polymeric reinforcing bands 52 extend longitudinally along the interior walls of the tubular member. Inflatable reservoirs 54 formed of a soft elastic polymer are positioned on the exterior of the tubular sleeve 48. A fill tube 56 is fluidly coupled to the reservoirs. After the device is positioned within the antrum, reservoirs 54 are filled with saline to expand the sleeve 48 into contact with the antrum walls, so as to hold the device in place within the antrum. Fill tube 56 may detach from the reservoir following inflation using the saline. To prevent saline leakage, a one-way valve (not shown) may be located within the reservoir at the point of attachment of the fill tube.

Another alternative embodiment of a satiation device 200 is shown in Figs. 14 and 15. Device may be formed of a wire member coiled to create a stent-like device. The coil may be contoured to match the contours of interior lumen wall, such as by forming the coil of a shape memory material such as nitinol or polymers, and shape setting the material to the desired shape. Device 200 has a proximal portion 202 positionable in the antrum, and a distal portion 204 that may be positioned in the duodenum bulb or further within the small intestine. The pitch of the coil is selected to give the device 200 a desired strength and flexibility.

A straight portion 206 connects the proximal and distal portions 202, 204. Straight portion 206 is positionable within the pyloric sphincter. Under normal conditions, the pyloric sphincter remains closed until the stomach is ready to evacuate its contents into the duodenum. Straight portion 206 is beneficial in that it provides structure connecting proximal and distal portions 202, 204 while allowing the pyloric sphincter to correctly perform its normal function.

Although a preferred material for the device 200 is wire, it should be noted that a variety of alternative materials may be used for this purpose. For example, device 200 may be formed of ribbons of material, or it may be formed from a metallic sheet, or its pattern may be cut from tubing.

5 Yet another embodiment of a satiation device 300 is illustrated in Fig. 17A.

Device 300 includes a tubular pouch 302 that is positioned in the proximal region of the stomach. Pouch 302 includes a proximal end that is preferably positioned to be slightly proximal of the gastro\_ o-esophageal junction as shown. The walls of the pouch preferably taper inwardly from the proximal end towards the distal end. A proximal opening 304 of, for example, approximately 25 to 50 mm in diameter is located at the proximal end, and a distal opening 308 having a diameter of approximately 6 – 12 mm is formed at the distal end. The proximal opening 304 is preferably placed into alignment with the esophagus, and the distal opening 308 opens into the interior of the stomach.

Because of its small volume (which may be on the order of approximately 30cc- 50cc in volume), the pouch functions to limit the amount of food that can be consumed at one time. Food ingested by the patient remains in the pouch until digestive enzymes have broken it down sufficiently for it to pass through the distal opening 308.

The pouch is preferably self-expanding and may take a variety of forms. For example, referring to Fig. 18 it may be formed of struts 310 or a mesh formed of nitinol, stainless steel, polymer (including shape memory polymer). A ring 312 is attached to the struts/mesh at the proximal end of the device, and also may be formed of nitinol, stainless steel, polymer (including shape memory polymer). The exterior or interior of the pouch covered with a material 313 will prevent passage of food through the sides of the pouch. One example of such a material is a polyester material such as the polyester sold by the DuPont Company under the trademark Dacron.

Figs. 19A and 19B show another example of a pouch 302a. Pouch 302a is formed of a shape memory coil that has been heat set to a funnel shape. Dacron polyester or other material 313a (Fig. 19B) may optionally cover the interior or exterior walls of the coil, although the coil may itself be sufficiently small as to prevent migration of food to

the surrounding stomach walls. The material 313a may be pinched between proximal-most coil 312a and its adjacent coil as shown in Fig. 19B, so as to hold it in place.

The pouches 302, 302a may be provided with a proximal-to-distal dimension that is fairly long (e.g. on the order of approximately 2.5 – 5.0 cm) and that thus gives the pouch a funnel shape as shown in Figs. 18 and 19A. However, a variety of alternative shapes may be used for the pouch. For example, the pouch may have a much shorter proximal-to-distal dimension and thus take the shape of a shallow saucer with a small hole on its bottom surface.

The stomach pouch may be used alone or in combination with other components. If used without additional components, the proximal end of the pouch (e.g. ring 312 of pouch 302 or ring 312a of pouch 302a) may serve as a sewing ring that is attached by sutures to the interior stomach walls. The suture may pass through the material 313, 313a (see Fig. 19B) to strengthen the connection between the stomach wall and the device. Alternatively, the pouch may be used as a standalone device without sutures – in which case it may be held in place by the radial expansion forces of the struts, mesh or coils.

The stomach pouch may alternatively be one portion of a larger satiation device. For example, referring to Fig. 17B, the proximal portion of the pouch (such as ring 312 of the pouch of Fig. 18 or the upper coil 312a of the pouch of Fig. 19A) may be connected to the proximal end of a larger cage structure 314. Cage 314 extends from the esophagus to the proximal portion of the antrum, and may be similar to the fundal baskets described above. It may be a large stent-like structure preferably formed of self-expanding material, such as stainless steel or a shape memory material such as nitinol or polymer. Cage 314 functions primarily to distend the stomach to create a feeling of satiety. As shown, the pouch 300 is suspended into the interior of cage 314.

Additionally, the pouch (as used with or without cage 314) may also be attached at its proximal end to an alignment extension 316. Referring to Fig. 17C, alignment extension 316 is a tubular stent portion that extends into the esophagus. In one embodiment, extension 316 may be approximately 5 cm in length. It functions primarily to keep the proximal opening of the pouch aligned with the esophagus – so that food passing through the esophagus passes easily into the pouch.

Finally, an enclosed bypass tail (not shown) may extend from distal opening 308 of the pouch through the pylorus into the small bowel to simulate a stomach bypass procedure. The structure of the tail may be similar to the bowel tube described with respect to Fig. 5.

5 The stomach pouch and associated components may be implanted and removed using procedures of the type described with respect to previous embodiments. In embodiments in which the stomach pouch includes the cage, alignment extension, and/or bypass tail, the components may be implanted simultaneously as a single device. Alternatively, they may be segmented for separate implantation and for subsequent suture  
10 attachment to one another once they are within the body.

Another embodiment of a satiation device is illustrated in Fig. 20. This satiation device includes a duodenal absorption barrier – an elongate tube 400 that is positionable within the small intestine at a location slightly distal of the ampulla of vater. For example, the barrier may be positioned a distance of approximately 1 cm or more from  
15 the ampulla of vater. Positioning of the tube so that it does not contact the ampulla (an opening through which bile passes into the duodenum) is desirable in that it minimizes the chance of irritation and cholecystitis.

The tube 400 is preferably a flexible tube preferably approximately 20 cm or more in length. It may be constructed as described with the satiation devices described above. For example, it may be formed of a self-expandable material such as nitinol, stainless steel, or a shape memory polymer (e.g. oligo-(caprolactone)-dimethacrylate or  
20 n-butyl acrylate), and covered with a polymer covering that is resistant to gastric juices (e.g. silicone) and that prevents passage of food byproducts through the walls of the tube.

The tube 400 prevents caloric intake in the small intestine by preventing  
25 absorption of food through the walls of the duodenum, and thus functions as an aid to weight loss.

Tube 400 may be delivered and extracted using the techniques described above, and it may be held in place in any of the ways described herein, including sutures, barbs, scales, hooks, or under the outward pressure of the expanded device against the

surrounding walls of the duodenum. Tube 400 may be used alone or in combination with components of the type described above.

Various embodiments of satiation device have been described herein. These embodiments are giving by way of example and are not intended to limit the scope of the present invention. It should be appreciated, moreover, that the various features of the embodiments that have been described may be combined in various ways to produce numerous additional embodiments.

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CLAIMS

We claim:

1. A method of inducing weight loss in a patient, comprising the steps of:
- 5 providing a tubular prosthesis expandable from a collapsed position in which the prosthesis has a first diameter to an expanded position in which the prosthesis has a second, larger, diameter;
- with the prosthesis in the collapsed position, inserting the prosthesis into a stomach of a patient; and
- 10 allowing the prosthesis to self-expand from the collapsed position to the expanded position and into contact with the walls of the stomach.
2. The method of claim 1 wherein the inserting step includes inserting the prosthesis into the antrum of a stomach and wherein the allowing step causes the
- 15 prosthesis to self-expand into contact with the walls of the antrum.
3. The method of claim 2 wherein the prosthesis includes a waist section, and wherein the method includes causing the waist section to seat at the pyloric sphincter of the stomach.
- 20 4. The method of claim 1 wherein the contact between the prosthesis and the walls of the stomach secures the prosthesis in place in the stomach.
5. The method of claim 1 wherein the contact between the prosthesis and the
- 25 walls of the stomach causes feelings of satiation in the patient.
6. The method of claim 5 wherein the contact between the prosthesis and the walls of the stomach suppresses production in the patient of a chemical mediator of the sensation of hunger.

30

7. The method of claim 6 wherein the chemical mediator includes Ghrelin.
8. The method of claim 1 wherein the prosthesis includes a self-expanding framework in combination with a fluid impermeable barrier, the fluid impermeable barrier preventing movement of food material through the walls of the prosthesis and into the stomach.
9. The method of claim 1 wherein the prosthesis includes a fluid-permeable reservoir containing a satiety-controlling substance, and wherein the method includes allowing the satiety-controlling substance to pass from the fluid-permeable reservoir into the stomach.
10. The method of claim 1 wherein the prosthesis includes a membrane impregnated with a satiety-controlling substance, and wherein the method includes allowing the satiety-controlling substance to pass from the membrane into the stomach.
11. The method of claim 1 wherein the prosthesis is formed of a shape memory material.
12. The method of claim 11 wherein the shape memory material is nitinol.
13. The method of claim 12 wherein the shape memory material is a shape memory polymer.
14. The method of claim 1 wherein the prosthesis is formed of a mesh.
15. The method of claim 2 wherein the prosthesis includes a valve at the waist section and wherein the method includes preventing reflux of bile from the duodenum into the antrum using the valve.

16. The method of claim 1 wherein the prosthesis includes a proximal end and wherein the method includes the step of inserting a snare into the stomach, placing the snare around the proximal end, and withdrawing the snare to collapse the prosthesis.

5 17. The method of claim 16 further including the step of further withdrawing the snare to remove the prosthesis from the stomach.

18. The method of claim 1 wherein the inserting step includes the steps of placing the prosthesis in an elongate sheath and inserting the elongate sheath into the stomach, and wherein the allowing step includes withdrawing the elongate sheath from the prosthesis.

19. A method of effecting weight loss in a patient, comprising the steps of: providing a prosthesis including an antral tube expandable from a collapsed position in which the antral tube has a first diameter to an expanded position in which the antral tube has a second, larger, diameter;

further providing a bowel tube attachable to a distal portion of the antral tube, the bowel tube having a diameter smaller than the second diameter of the antral tube;

with the antral tube in the collapsed position, inserting the antral tube into an antrum of a patient;

allowing the antral tube to self-expand from the collapsed position to the expanded position and into contact with the walls of the atrum;

attaching the bowel tube to the antral tube; and

positioning the bowel tube within the intestine of the patient.

20. The method of claim 19 wherein the attaching step is performed prior to the inserting step.

21. The method of claim 19 wherein the attaching step is performed after the inserting step.



22. The method of claim 19, including the step of causing food ingested by the patient to pass through the antral tube and the bowel tube.

23. The method of claim 23 wherein the step of causing food to pass through the bowel tube includes preventing contact between the food and the portion of the intestine surrounding the bowel tube.

24. The method of claim 19 wherein the antral tube includes a waist section, and wherein the method includes causing the waist section to seat at the pyloric sphincter of the stomach.

25. The method of claim 19 wherein the contact between the antral tube and the walls of the stomach secures the antral tube in place in the stomach.

26. The method of claim 19 wherein the contact between the antral tube and the walls of the stomach causes feelings of satiation in the patient.

27. The method of claim 26 wherein the contact between the prosthesis and the walls of the stomach suppresses production in the patient of a chemical mediator of the sensation of hunger.

28. The method of claim 27 wherein the chemical mediator includes Ghrelin.

29. The method of claim 1 wherein the antral tube is formed of a shape memory material.

30. The method of claim 29 wherein the shape memory material is nitinol.

31. The method of claim 29 wherein the shape memory material is a shape memory polymer.

32. The method of claim 19 wherein the antral tube is formed of a mesh.

33. The method of claim 24 wherein the antral tube includes a valve at the  
5 waist section and wherein the method includes preventing reflux of bile from the  
duodenum into the antrum using the valve.

34. The method of claim 19 wherein the antral tube includes a proximal end  
and wherein the method includes the step of inserting a snare into the stomach, placing  
10 the snare around the proximal end, and withdrawing the snare to collapse the antral tube.

35. The method of claim 34 further including the step of further withdrawing  
the snare to remove the collapsed antral tube from the stomach.

36. The method of claim 19 wherein the inserting step includes the steps of  
15 placing the antral tube in an elongate sheath and inserting the elongate sheath into the  
stomach, and wherein the allowing step includes withdrawing the elongate sheath from  
the antral tube, causing the antral tube to spring to the expanded position.

37. A method of effecting weight loss in a patient, comprising the steps of:  
20 providing a prosthesis including an antral tube expandable from a collapsed  
position in which the antral tube has a first diameter to an expanded position in which the  
antral tube has a second, larger, diameter;

25 further providing a fundal basket attachable to a proximal portion of the antral  
tube;

with the antral tube in the collapsed position, inserting the antral tube into an  
antrum of a patient;

allowing the antral tube to self-expand from the collapsed position to the  
expanded position and into contact with the walls of the atrum;

30 attaching the fundal basket to the antral tube; and

positioning the fundal basket within the fundus of the stomach.

38. The method of claim 37 wherein the attaching step is performed prior to the inserting step, wherein the fundal basket includes a collapsed position and an expanded condition, and wherein the step of positioning the fundal basket in the fundus includes introducing the fundal basket and antral tube into the stomach in their collapsed positions, and allowing the fundal basket and antral tube to self expand into their expanded positions.

39. The method of claim 37 wherein the attaching step is performed after the inserting step.

40. The method of claim 37, including the step of causing food ingested by the patient to pass through the fundal basket and the antral tube.

41. The method of claim 37 wherein the contact between the prosthesis and the walls of the stomach secures the prosthesis in place in the stomach.

42. The method of claim 37 wherein contact between the antral tube and the walls of the stomach causes feelings of satiation in the patient.

43. The method of claim 42 wherein the contact between the prosthesis and the walls of the stomach suppresses production in the patient of a chemical mediator of the sensation of hunger.

44. The method of claim 43 wherein the chemical mediator includes Ghrelin.

45. The method of claim 37 wherein the antral tube is formed of a shape memory material.

46. The method of claim 45 wherein the shape memory material is nitinol.

47. The method of claim 45 wherein the shape memory material is a shape memory polymer.

5

48. The method of claim 37 wherein the antral tube is formed of a mesh.

49. The method of claim 37 wherein the fundal basket includes a proximal end and wherein the method includes the step of inserting a snare into the stomach, placing the snare around the proximal end, and withdrawing the snare to collapse the fundal basket and antral tube.

10

50. The method of claim 49 further including the step of further withdrawing the snare to remove the collapsed fundal basket and antral tube from the stomach.

15

51. The method of claim 37 wherein the inserting step includes the steps of placing the fundal basket in an elongate sheath and inserting the elongate sheath into the stomach, and wherein the allowing step includes withdrawing the elongate sheath from the fundal tube.

20

52. The method of claim 38 wherein the inserting step includes the steps of placing the fundal basket and antral tube in an elongate sheath and inserting the elongate sheath into the stomach, and wherein the allowing step includes withdrawing the elongate sheath from the fundal basket and antral tube.

25

53. The method of claim 37 further including the steps of:  
attaching a bowel tube to a distal portion of the antral tube; and  
positioning the bowel tube within the intestine of the patient.

54. The method of claim 53 wherein step of attaching the bowel tube is performed prior to the step of inserting the antral tube into the antrum of a patient.

5 55. The method of claim 53 wherein step of attaching the bowel tube is performed after the step of inserting the antral tube into the antrum of a patient.

56. The method of claim 53, further including the step of causing food ingested by the patient to pass through the fundal basket, antral tube, and bowel tube.

10 57. An apparatus for inducing weight loss in a patient, comprising:  
a prosthesis proportioned for placement in the stomach, the prosthesis defining a lumen for passage of food therethrough, the prosthesis self-expandable from a collapsed position to an expanded position, the prosthesis further including  
15 an antral portion sized for positioning within an antrum of a stomach such that exterior walls of the antral portion contact adjacent walls of the stomach,  
an intestinal portion sized for positioning within the duodenum such that exterior walls of the intestinal portion contact adjacent walls of the duodenum,  
and  
20 an intermediate portion extending between the antral portion and the intestinal portion for placement within the pyloric sphincter of the stomach.

58. The apparatus of claim 57 wherein the prosthesis is formed of a self-expandable mesh.

25 59. The apparatus of claim 58 wherein the mesh is formed of stainless steel.

60. The apparatus of claim 58 wherein the mesh is formed of shape memory material.

30 61. The apparatus of claim 60 wherein the mesh is formed of nitinol.

62. The apparatus of claim 57 wherein the prosthesis is formed of shape memory polymer.

5 63. The apparatus of claim 58 wherein the prosthesis includes a fluid impermeable barrier on the antral portion.

63. The apparatus of claim 57 wherein the antral portion and the intestinal portions are formed of wire coil, and wherein the intermediate portion includes an  
10 elongate element extending between the antral portion and the intestinal portions.

64. The apparatus of claim 63 wherein the elongate element is a wire.

65. The apparatus of claim 63 wherein the elongate element is a ribbon.

66. The apparatus of claim 63 wherein the elongate element is a suture.

67. A method for inducing weight loss in a patient, comprising the steps of:  
providing a pouch having a proximal opening and a distal opening;  
positioning the pouch within the stomach of a patient;  
20 placing the proximal opening of the pouch at the distal end of the esophagus and approximately aligning said proximal opening with said distal end;  
securing the pouch within the stomach; and  
causing food ingested by the patient to flow from the esophagus into the pouch.

68. The method of claim 67 wherein the proximal opening has a diameter that is larger than the diameter of the distal opening.

69. The method of claim 68 wherein the pouch has an approximate funnel  
30 shape.

70. The method of claim 67 further including the steps of:  
attaching the pouch to a cage; and  
positioning the cage within the stomach.

5

71. The method of claim 70 wherein the step of attaching the pouch to the  
cage is performed after to the step of positioning the cage within the stomach.

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72. The method of claim 70 wherein the step of attaching the pouch to the  
cage is performed prior to the step of positioning the cage within the stomach.

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73. The method of claim 70 wherein the step of positioning the cage within  
the stomach includes placing a portion of the cage at the fundus of the stomach.

74. The method of claim 67 including the step of positioning an alignment  
tube in the distal portion of the patient's esophagus, the alignment tube directing food  
from the esophagus into the proximal opening of the pouch.

75. An apparatus for inducing weight loss in a patient, the apparatus  
comprising:

a tubular pouch having a proximal opening and a distal opening, the pouch  
proportioned such that when the proximal opening is positioned at the distal end of a  
patient's esophagus, the distal opening opens into the proximal region of the stomach  
such that food from the esophagus passes directly into the proximal opening, passes  
through the pouch and then into the proximal region of the stomach.

76. The apparatus of claim 75 wherein the proximal opening has a diameter  
that is larger than the diameter of the distal opening.

30

77. The apparatus of claim 75 wherein the pouch has an approximate funnel shape.

78. The apparatus of claim 75 wherein the pouch is self-expandable from a collapsed position to an expanded position.

79. The apparatus of claim 78 wherein the pouch is formed of a shape memory material.

80. The apparatus of claim 79 wherein the shape memory material is nitinol.

81. The apparatus of claim 79 wherein the shape memory material is a shape memory polymer.

82. The apparatus of claim 75 wherein the pouch is formed of a coil.

83. The apparatus of claim 75 wherein the pouch is formed of a mesh.

84. The apparatus of claim 75 wherein the pouch includes a sewing ring at the proximal opening.

85. The apparatus of claim 75 further including a cage positionable within the proximal region of the stomach, the pouch attachable to the proximal portion of the cage such that the distal opening extends into the interior of the cage.

86. The apparatus of claim 75 further including an alignment tube positionable within the distal region of the esophagus, the alignment tube including a distal end attachable to the proximal end of the pouch.



87. The apparatus of claim 86 further including a cage positionable within the proximal region of the stomach, the pouch attachable to the proximal portion of the cage such that the distal opening extends into the interior of the cage.

5 88. A method of inducing weight loss in a patient, comprising the steps of:  
providing an elongate tube;  
securing the tube within the intestine of a patient, distally of the ampulla of vater;  
and  
causing food passing into the intestine of the patient to pass through the tube, the  
10 tube creating a barrier to absorption of the food by the intestine.

89. The method of claim 88 wherein the tube is formed of a shape memory frame covered with a polymeric barrier.

15 90. The method of claim 89 wherein the shape memory frame is formed of nitinol.

91. The method of claim 90 wherein the shape memory frame is formed of shape memory polymer.

20 92. A method of inducing weight loss in a patient, comprising the steps of:  
providing a tubular prosthesis having a wall surrounding a lumen, the wall formed of a framework that is self-expandable from a collapsed position in which the prosthesis has a first diameter to an expanded position in which the prosthesis has a second, larger,  
25 diameter;

with the prosthesis in the collapsed position, inserting the prosthesis into a stomach of a patient; and

allowing the prosthesis to self-expand from the collapsed position to the expanded position and into contact with the walls of the stomach.

30

93. The method of claim 92 wherein the inserting step includes inserting the prosthesis into the antrum of a stomach and wherein the allowing step causes the prosthesis to self-expand into contact with the walls of the antrum.

5 94. The method of claim 93 wherein the prosthesis includes a waist section, and wherein the method includes causing the waist section to seat at the pyloric sphincter of the stomach.

10 95. The method of claim 92 wherein the contact between the prosthesis and the walls of the stomach secures the prosthesis in place in the stomach.

96. The method of claim 92 wherein the contact between the prosthesis and the walls of the stomach causes feelings of satiation in the patient.

15 97. The method of claim 96 wherein the contact between the prosthesis and the walls of the stomach suppresses production in the patient of a chemical mediator of the sensation of hunger.

20 98. The method of claim 97 wherein the chemical mediator includes Ghrelin.

25 99. The method of claim 93 wherein the wall includes a self-expanding framework in combination with a fluid impermeable barrier, the fluid impermeable barrier preventing movement of food material from the lumen through the wall and into the stomach.

30 100. The method of claim 92 wherein the prosthesis includes a fluid-permeable reservoir containing a satiety-controlling substance, and wherein the method includes allowing the satiety-controlling substance to pass from the fluid-permeable reservoir into the stomach.

101. The method of claim 92 wherein the prosthesis includes a membrane impregnated with a satiety-controlling substance, and wherein the method includes allowing the satiety-controlling substance to pass from the membrane into the stomach.

5 102. The method of claim 92 wherein the wall is formed of a shape memory material.

103. The method of claim 102 wherein the shape memory material is nitinol.

10 104. The method of claim 103 wherein the shape memory material is a shape memory polymer.

105. The method of claim 92 wherein the wall is formed of a mesh.

15 106. The method of claim 93 wherein the prosthesis includes a valve at the waist section and wherein the method includes preventing reflux of bile from the duodenum into the antrum using the valve.

20 107. The method of claim 92 wherein the prosthesis includes a proximal end and wherein the method includes the step of inserting a snare into the stomach, placing the snare around the proximal end, and withdrawing the snare to collapse the prosthesis.

25 108. The method of claim 107 further including the step of further withdrawing the snare to remove the prosthesis from the stomach.

30 109. The method of claim 92 wherein the inserting step includes the steps of placing the prosthesis in an elongate sheath and inserting the elongate sheath into the stomach, and wherein the allowing step includes withdrawing the elongate sheath from the prosthesis.

ABSTRACT OF THE DISCLOSURE

A device for inducing weight loss in a patient includes a tubular prosthesis self-expandable from a collapsed position in which the prosthesis has a first diameter to an expanded position in which the prosthesis has a second, larger, diameter. In a method for inducing weight loss, the prosthesis is placed in the collapsed position and inserted into a stomach of a patient. The prosthesis is allowed to self-expand from the collapsed position to the expanded position and into contact with the walls of the stomach, where it induces feelings of satiety and/or inhibits modulation of satiety-controlling factors such as Ghrelin.

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## DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

## SATIATION DEVICES AND METHODS

the specification of which (check one) ☒ is attached hereto or ☐ was filed on HEREWITH as Application No. NEW and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
			Yes	No
Number	Country	Day/Month/Year Filed	<input type="checkbox"/>	<input type="checkbox"/>
Number	Country	Day/Month/Year Filed	<input type="checkbox"/>	<input type="checkbox"/>

I hereby claim the benefit under 35 U.S.C. § 119(3) of any United States provisional application(s) below:

Application Number	Filing Date
Application Number	Filing Date
Application Number	Filing Date

10/28/01 10:10:50

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	Filing Date	Status: Patented, Pending, Abandoned
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Application Number	Filing Date	Status: Patented, Pending, Abandoned
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Application Number	Filing Date	Status: Patented, Pending, Abandoned
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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10/22/88 01:40:50

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10/22/80 01 01662



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Richard S. Stack et al.

Application No.: NEW

Filed: HEREWITH

For: SATIATION DEVICES AND  
METHODS

Group No.: Unknown

Examiner: Unknown

**SMALL ENTITY STATEMENT**  
**37 CFR 27**

121 Spear Street, Suite 290  
San Francisco, CA 94105

Box PATENT APPLICATION  
Commissioner for Patents  
Washington, DC 20231

Sir:

Applicant is a small entity.

Respectfully submitted,

STALLMAN & POLLOCK LLP

Date: Aug. 27, 2001

By: Kathleen A. Frost  
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Atty Docket No.: SYNC-200

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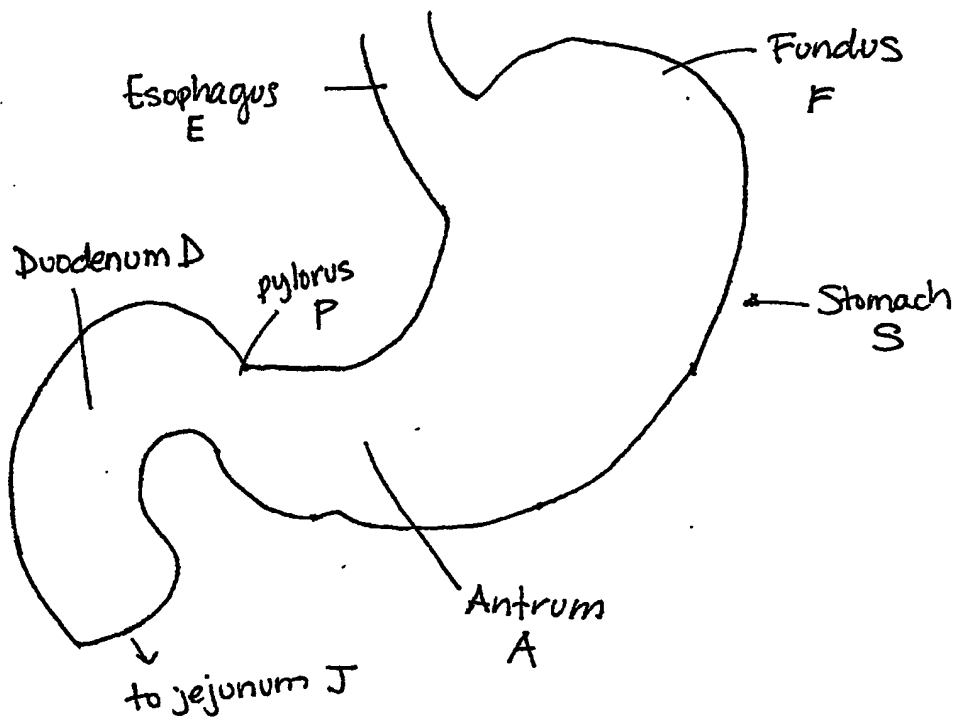


FIG 1

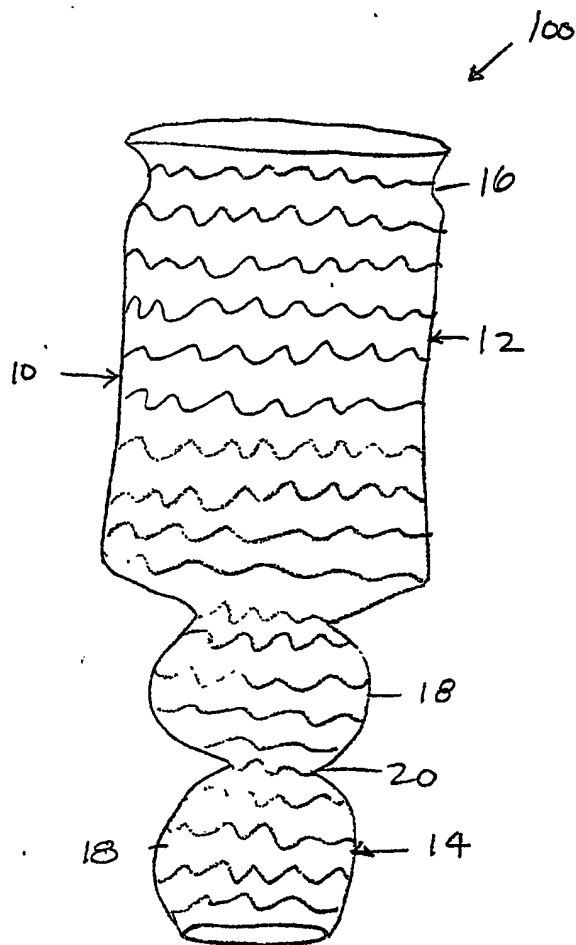


FIG 2.

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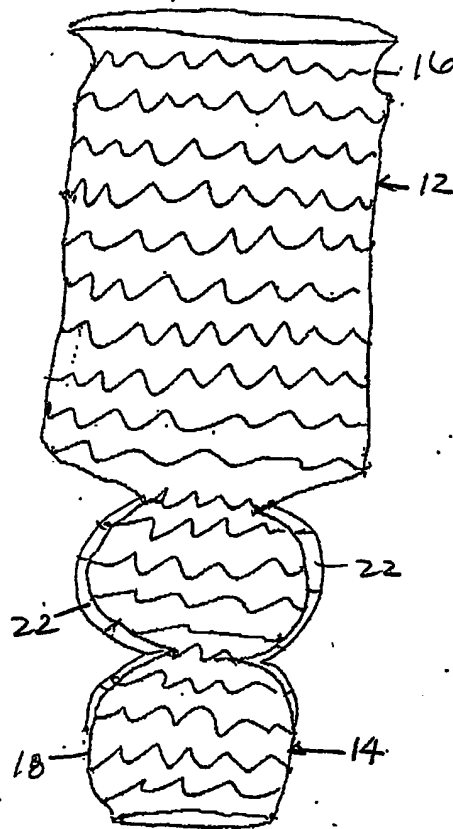
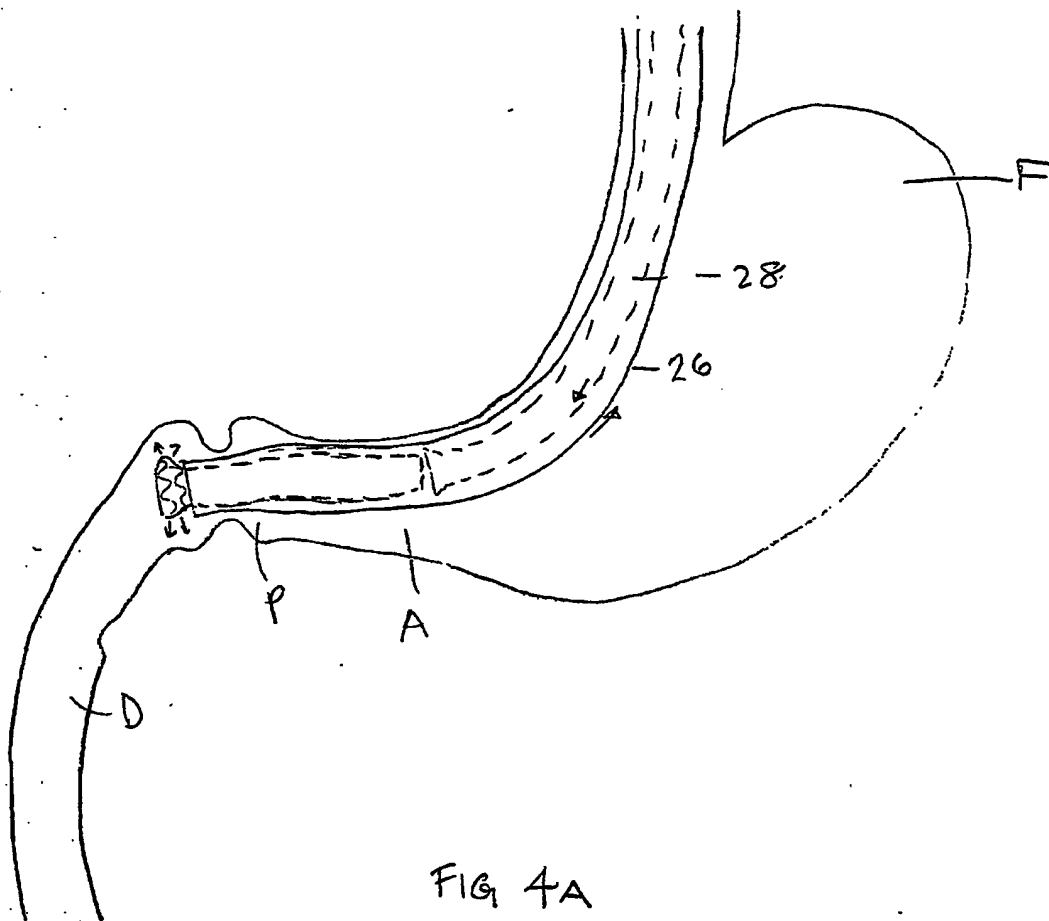


FIG. 3

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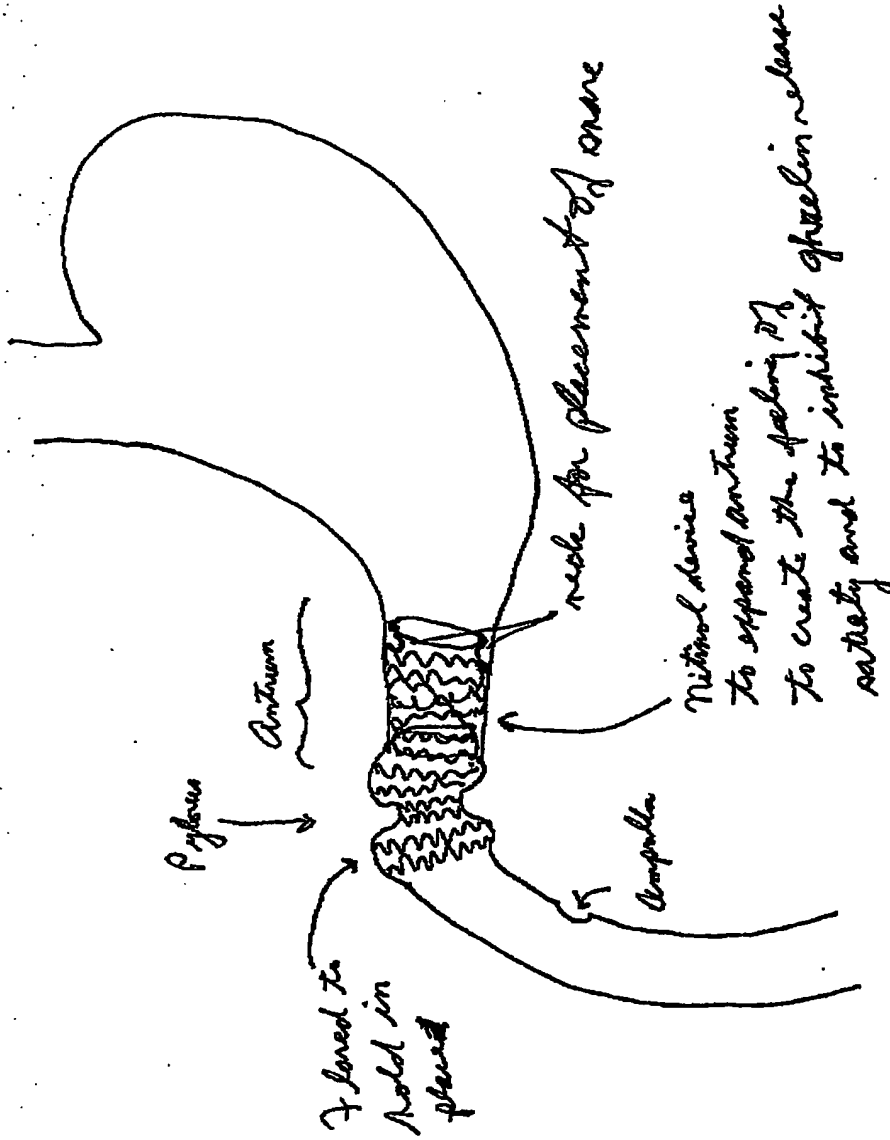


FIG. 4B

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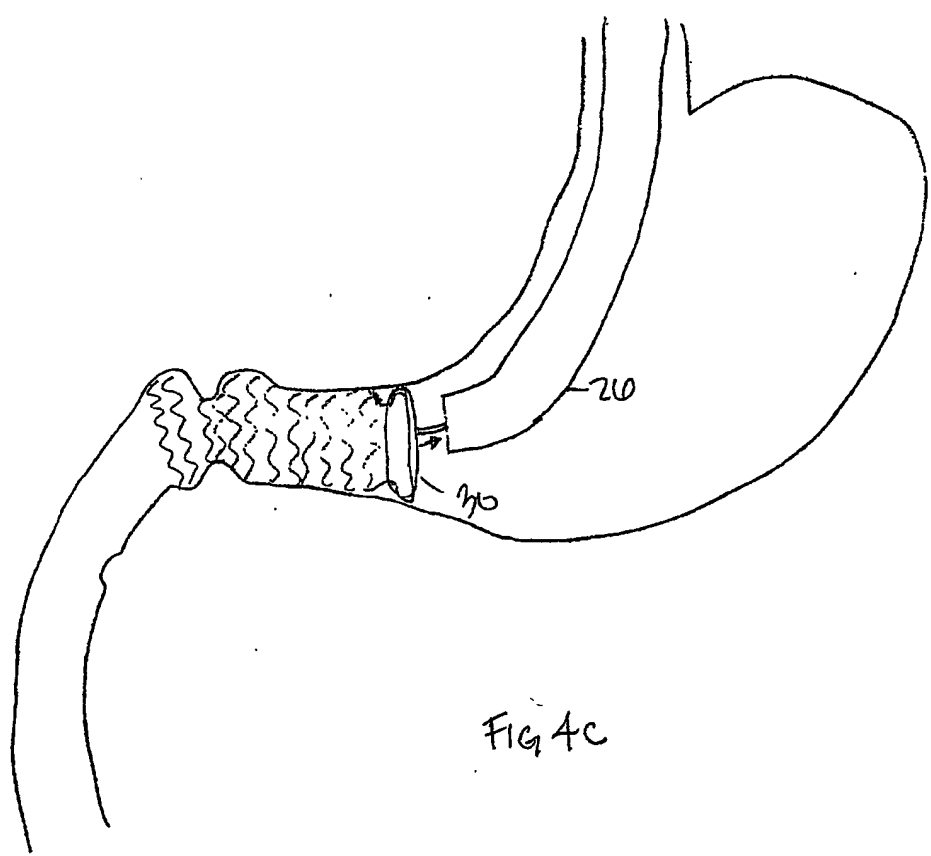
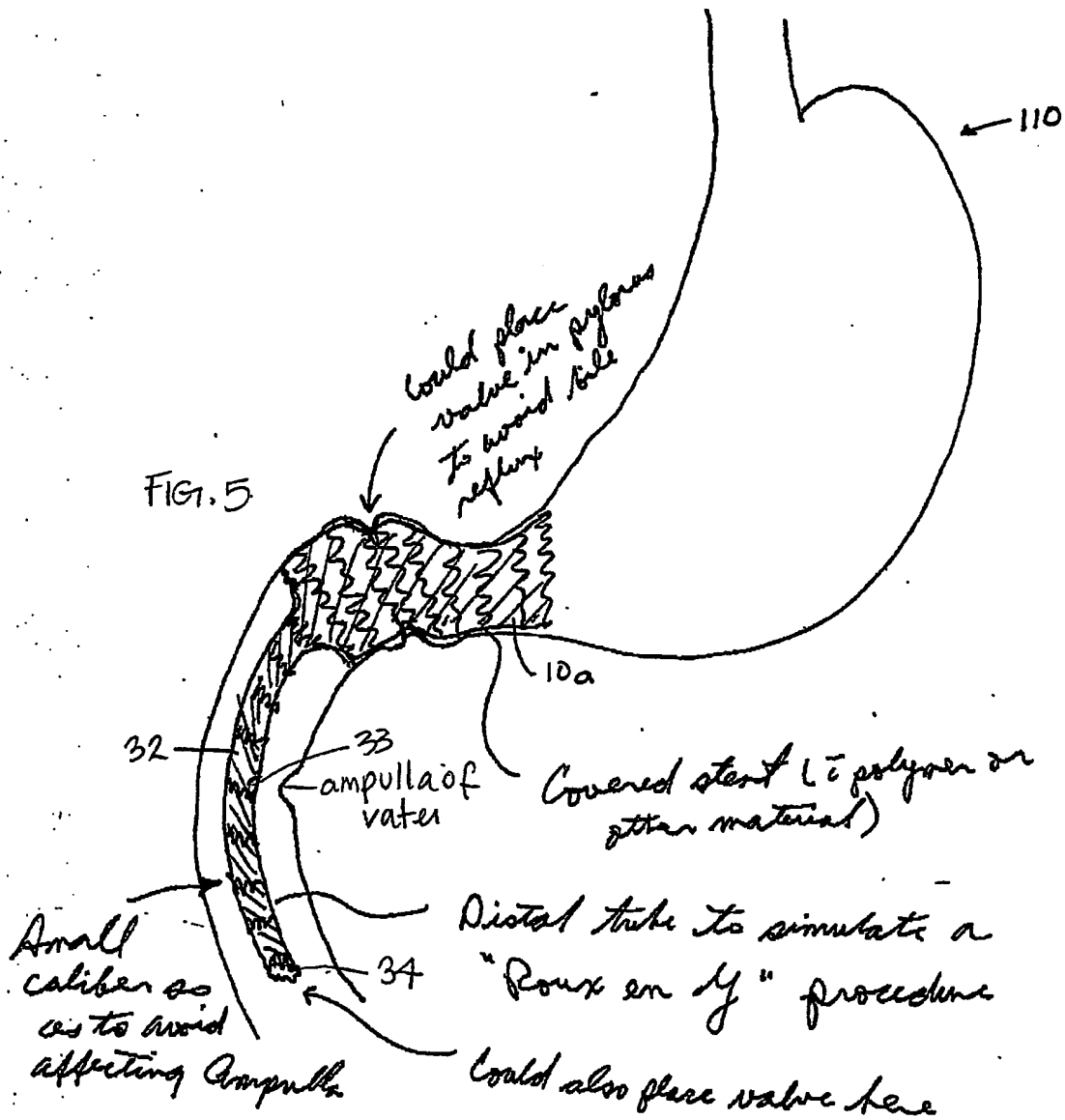


Fig 4c

09940110-002701





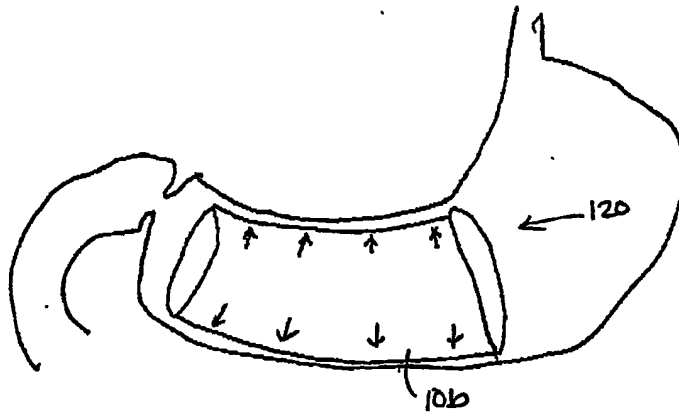


FIG 6

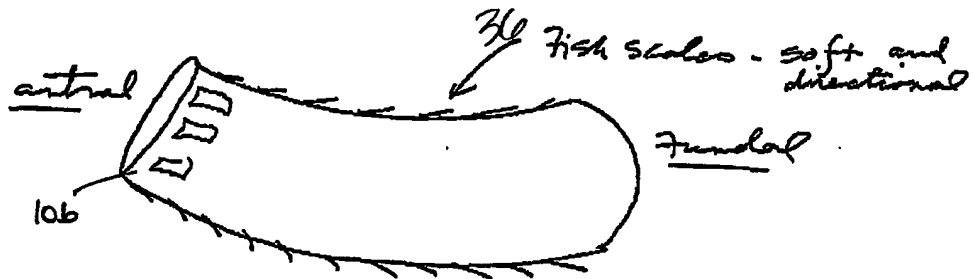


FIG 7

09940310:082701

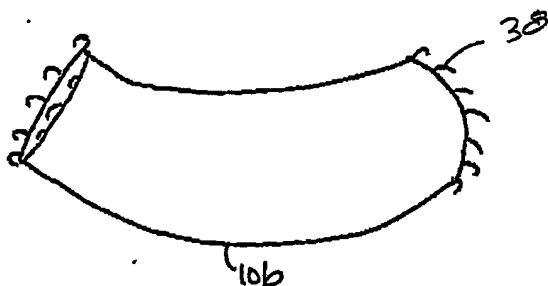


FIG. 8



FIG. 9A

09946110-082701

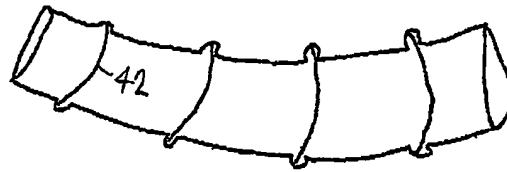


FIG. 9B



FIG. 10A

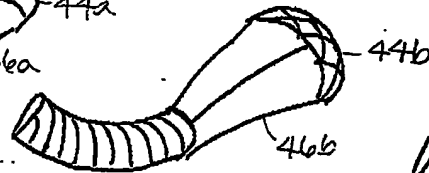


FIG. 10B

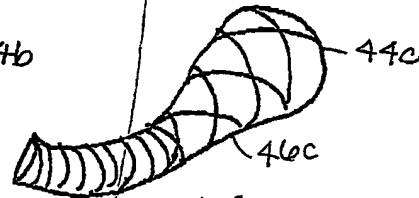


FIG. 10C

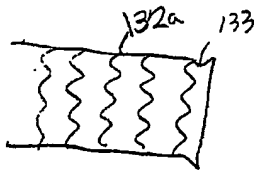


FIG. 10D

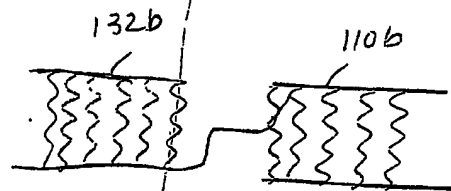
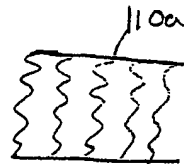


FIG. 10E

FIG. 10F

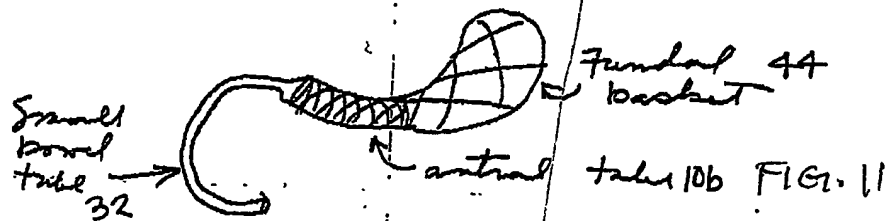


FIG. 11

09940110.082701

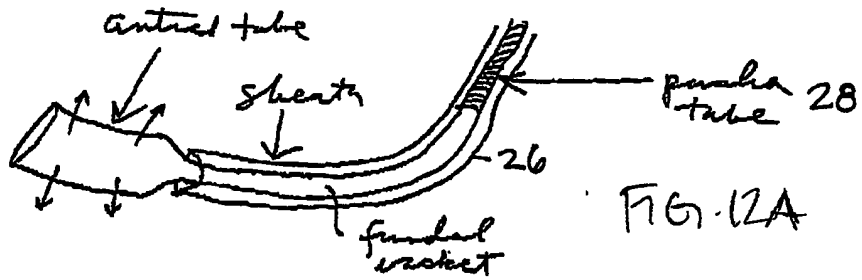


FIG. 12A

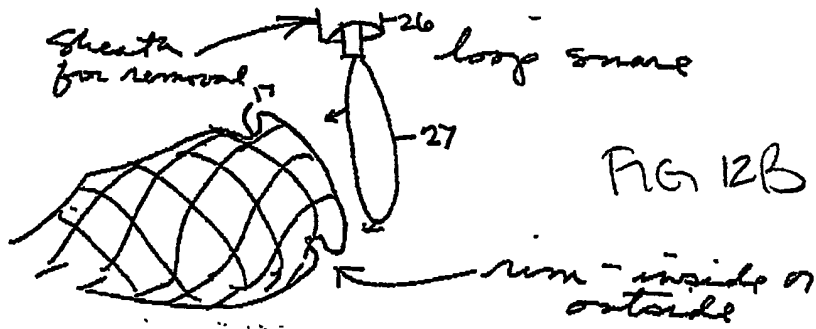


FIG. 12B

09940110-082701

1072380-01 F04660

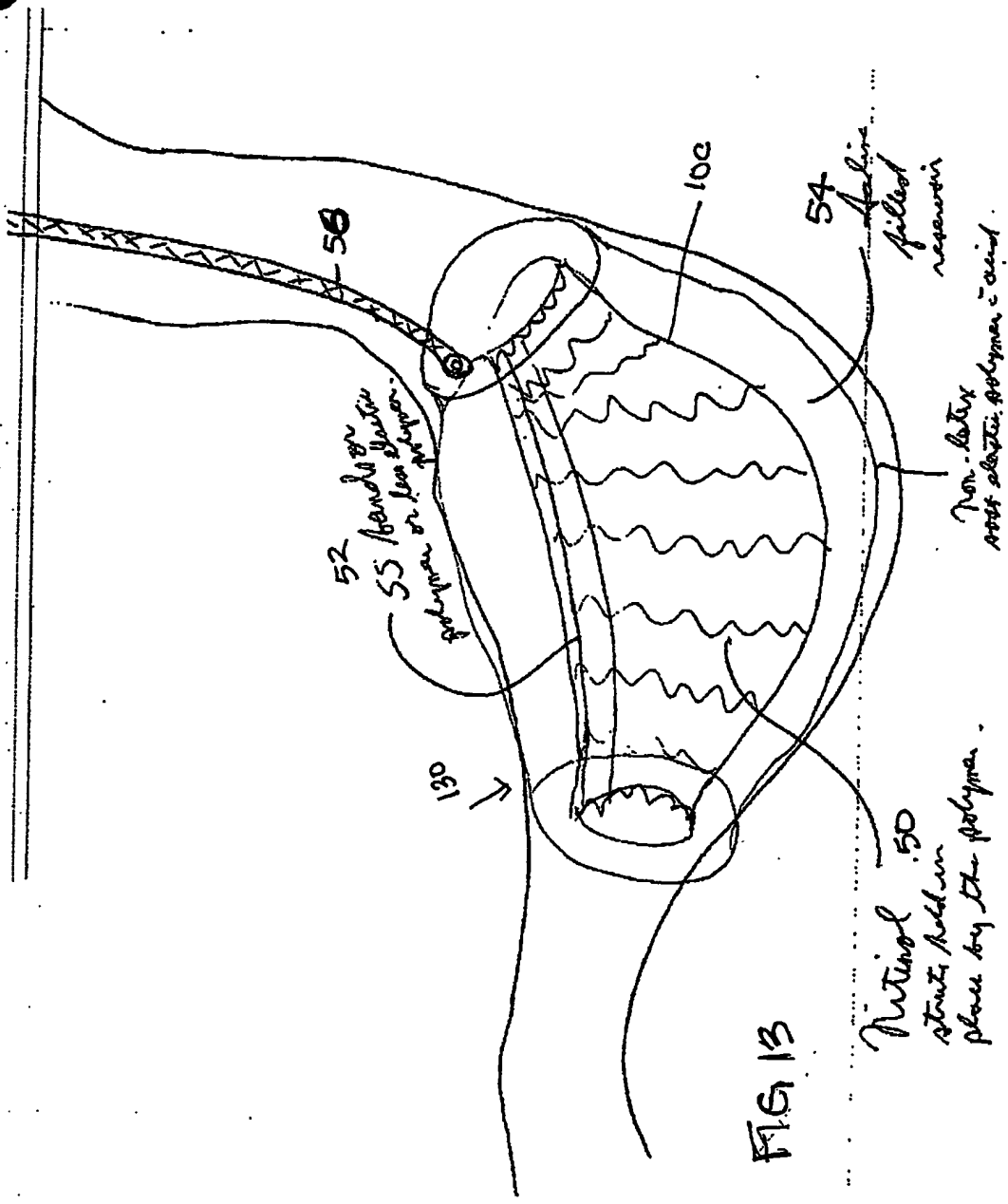


FIG. 13

*Pat. Blm*  
*6/12/01*

104280-01101660

SINGLE WIRE COIL STENT WITH  
STRAIGHT CENTER

200

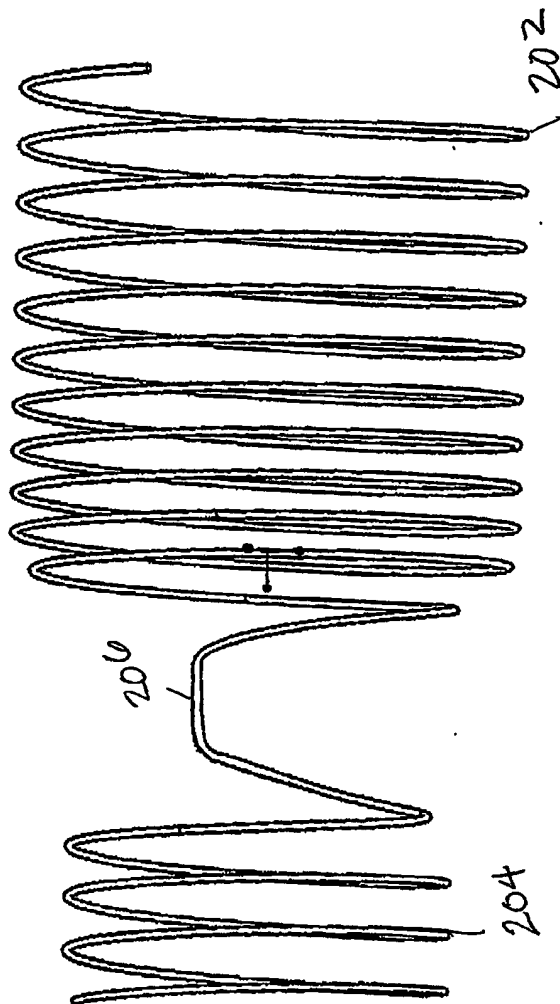


FIG. 14

FIG. 2

10/280-01101660

*Pat. Blm.*  
6/12/01

SINGLE WIRE COIL STENT WITH  
STRAIGHT CENTER

200

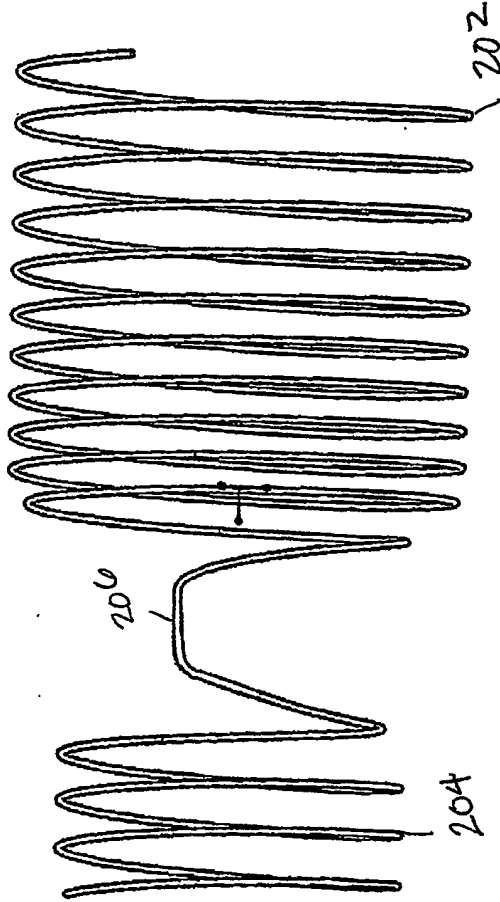


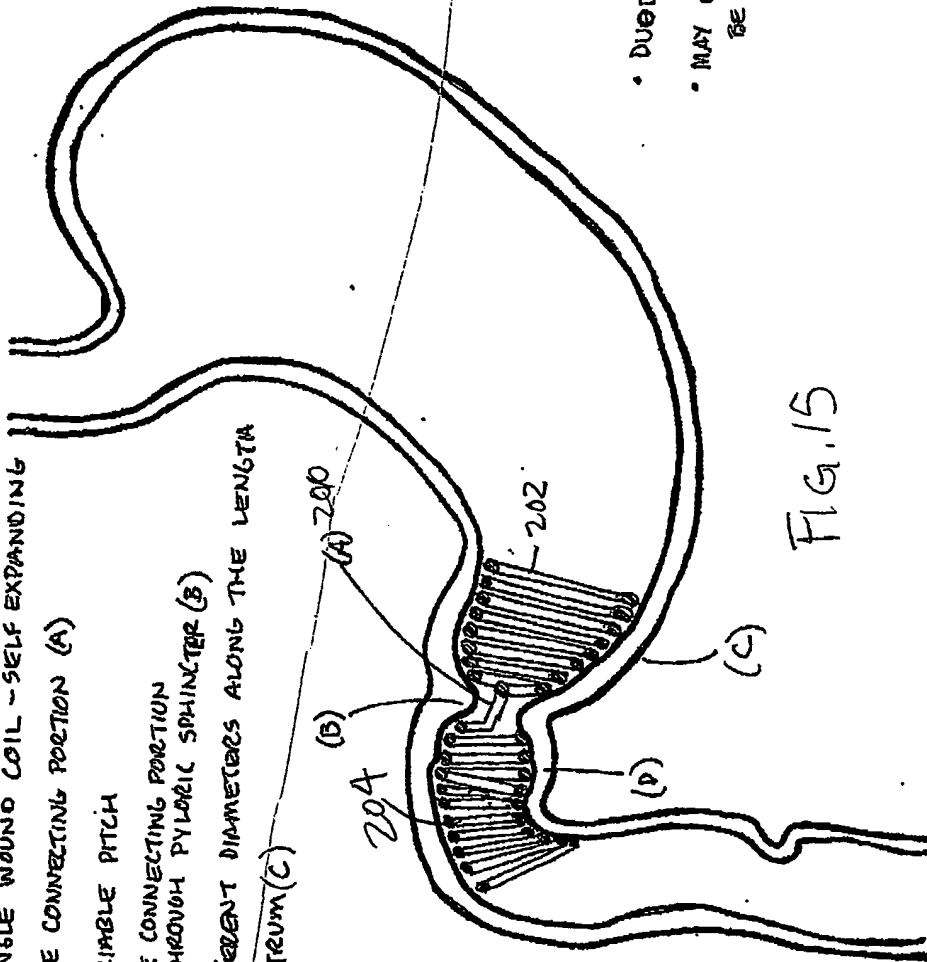
FIG. 14

FIG. 2

104280-0104660

SINGLE WIRE COIL STENT W/ STRAIGHT CENTER

- SINGLE WOUND COIL - SELF EXPANDING
- ONE CONNECTING PORTION (A)
- VARIABLE PITCH
- ONE CONNECTING PORTION THROUGH PYLORIC SPHINCTER (B)
- DIFFERENT DIAMETERS ALONG THE LENGTH
- ANTRUM (C)



- DUODENUM BULB (D)
- MAY OR MAY NOT BE COVERED

Fig. 15

(Fig. 1) CROSS SECTION VIEW  
OF STOMACH + STENT

PA  
6/12/01  
P. 15 of 19



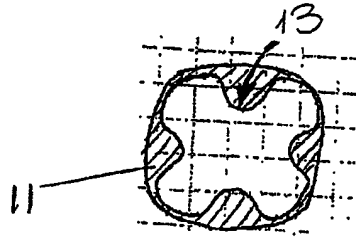


FIG. 16A

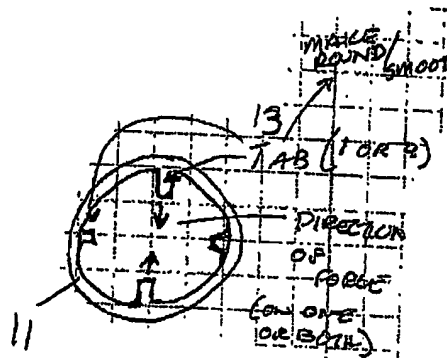
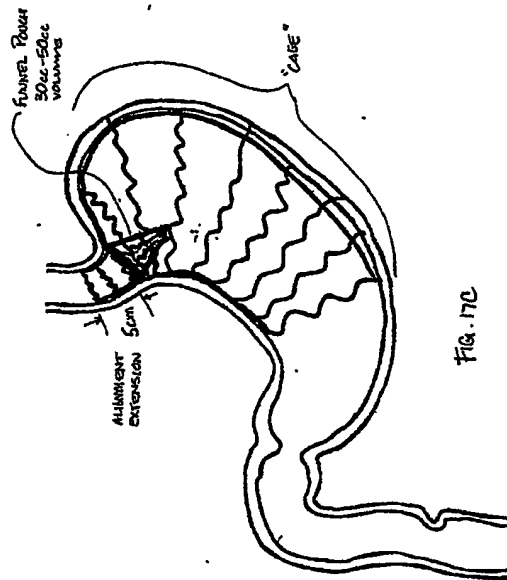
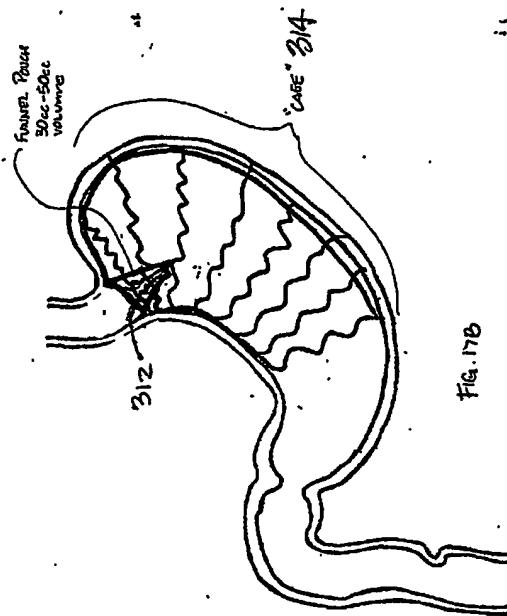
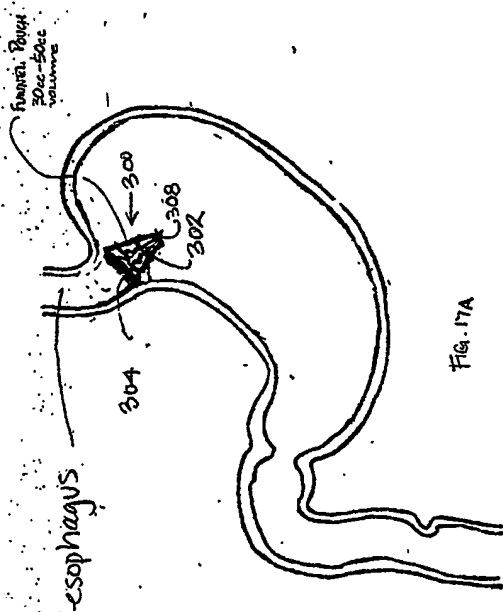


FIG. 16B

09940110-082701

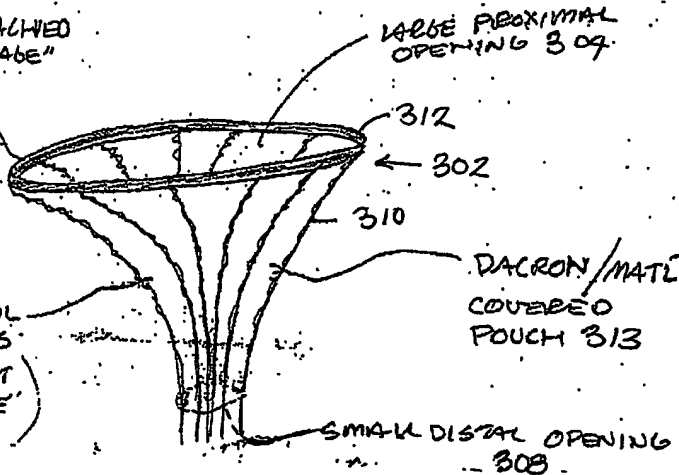
102280-0104660



RING IS ATTACHED  
TO LARGER "CAGE"  
(ACTS AS  
A STRUT)

FIG. 18

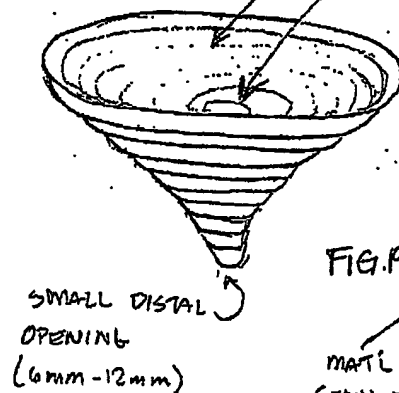
NITINOL  
STRUTS  
(SHAPE SET  
TO "BIRDIE"  
DESIGN)



INTERIOR MAY OR  
MAY NOT BE COVERED

DIRECTION  
OF FOOD

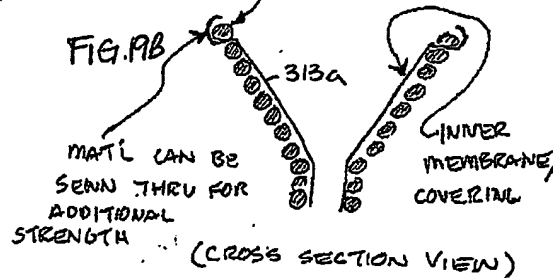
FIG. 19A  
(3-D VIEW)



← 302a

TOP COIL ACTS AS  
SEWING RING + TO  
HOLD MAT'L IN  
PLACE BY PINCHING

FIG. 19B



\* COILED FUNNEL WITH  
INNER MEMBRANE OF  
DACRON OR OTHER MAT'L

0940110-082701

FIG. 18

0940110-082701

• LOCATION OF THE DUODENAL ABSORPTION BARRIER PROSTHESIS

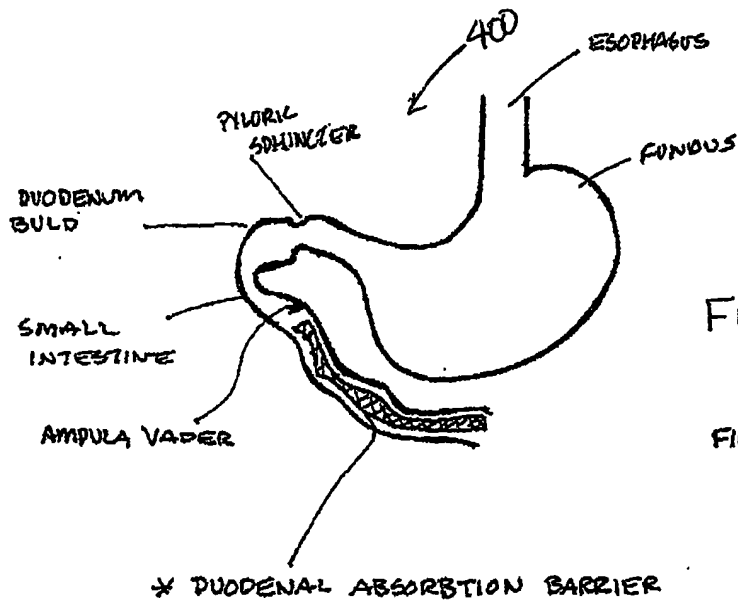


FIG. 20

FIG ①

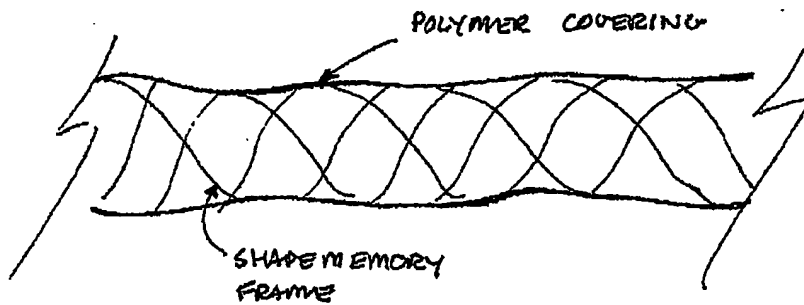


FIG ②